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Please stand by for real-time captions.

>> Good afternoon everybody. I am Jenn Fagan-Fry I am the NOAA institutional repository manager and I am here with my colleague Sarah Davis who is our bibliometrics librarian and she is also with the repository. This is number three of our series. Today we are going to go over requirements specifically for cooperative institutes and grantees. I am just going to dive in. I will say we are recording this. We will put it up on the library brownbag website. Probably within the next day or two and if you have any questions as always you can hold them until the end and then you can always email myself or Sarah after-the-fact.

Just very briefly, our agenda today we will go over what governs the traditional repository. The language and requirements from all the directives that govern the repository. We will cover the submission process for grantees and institutes. And then we wanted to leave ample time for questions. A lot of people a very specific question so we will try and leave as much time as possible for that. As always, I'm going to start with what the repository is.

Right now I am sure everybody knows the repository is a free digital library of NOAA funded and NOAA authored research. You can access it through [repository.library.noaa.gov](http://repository.library.noaa.gov) or from the libraries main website. There is a tab on the homepage and a specific institutional homepage, research tool page.

To start, we will talk about what governs the institutional repository. The institutional repository started with the OSTP memo that requires agencies that conduct over \$100 million in research annually to create a public access plan. And to make the results of all research available to the public. This was put out in February of 2013. NOAA's response for this was the PARR plan. Publications and data publicly accessible. And calls for the development of a publications policy as well as the development of the NOAA institutional repository. The publications policy and the data directive, these two documents are created after the PARR policy. After the PARR plan and they further detail the roles and responsibilities of know authors, researchers, offices, what the library is responsible for. And all of those were laid out in the know what PARR plan any data directive and publications policy narrow those down and called out things specifically. What I

will do is I will go through each of these items, each of these directives and policies and cover exactly what is required for grantees to go over the state funding and the like.

We will start with the PARR plan. In the PARR plan, section 7.1 discusses grantee specific tasks. The NOAA PARR plan is in the repository, you can search for it, it will be our first result. Everything is linked here in this presentation so when you go to it online after the recording he will be able to access all these documents. So as I said 7.1 discusses grantee specific tasks for data and publications requirements. We will talk a little bit more about data but I am really going to just focus on what this says about publication since this is related to the repository. I will highlight just a couple of the things here. It's a pretty lengthy section but it was everything in bullet points. Some of the main highlights are specifying funding sources. The PARR plan states grantee shall be required to specify funding sources using the mechanism one papers are submitted for publication or via a funding statement. And that grantees shall be required to submit a digital copy of final pre-publication manuscripts to the NOAA and the traditional repository which is reiterated under section 7.2.1. In the PARR plan. The two main points to take away from that. If you receive a grant or RA Cooperative Institute you need to cite your funding source somewhere in the document. There are some either -- there are some examples of some fundings demons you can use, in the NOAA administrative order for grants. I will get that information on here and add it to the site before we post this. Also a handful of examples from other NOAA publications about how to cite that. We use that information when we enter metadata into when we enter the metadata for all of these items. If you provide your funding information, we link all of those great numbers to the item in the repository. So if someone were to look for something just on a grant number every publication I was funded by that grants will come up in the search. That's why we want to emphasize putting in your funding information.

For the publications, we do request that you send the pre-publication final version. The peer-reviewed prepublication before any publisher adding content is added manuscript. That's what this is saying that we need. The manuscript needs to be Section 508 compliant. For the data directive, the data directive or the data and publications sharing directive for NOAA grant cooperative agreements and contracts, I will call it the data directive, the data directive does not apply to FFO announcements and contract solicitation published or June 12016. Or grants cooperative agreements or contracts funded as a result of an announcement published before that date. If your grant or the like was published or solicited before June 1, 2016, PARR does not apply to it.

>> There is a previous version of the data directive that applies to those documents. And I have links that here. It is version 2. The current data directive is version three, which is the top link. The data directive also mentions funding acknowledgments. This is in section V-3. Federal funding sources shall be identified in all scholarly publications. It also goes on to say that the

relevant grant programs and award numbers should also be noted.

And finally the data directive does mention manuscripts. Manuscript submission. Says also in section B B-3, the final pre-publication manuscript of all scholarly publications shall be submitted to the NOAA and the traditional repository.

For the publication policy, pretty short because it focuses just on publication. Solely on the publications that are to be included in the NOAA IR by defining the research publications. The publications policy says this is what a NOAA research publication is and at this is you should be submitting to us. The policy defines the publication as any digital information product produced through the use of NOAA funding and intended for public or limited external distribution after the effective date of the NOAA plan for increasing public access to results of research and which meets the criteria shown below. This includes product created via federal staff time, through contracts with third-party, or grants or other agreements.

So if you receive NOAA money, you have to send us a copy of your manuscript. What you need to send the library, and these are the library requirements. We all know you have to send these to us now. What do we ask of you? The libraries, we manage, develop, the institutional repository. For manuscripts again, let me reiterate it. It is the final peer-reviewed but pre-publication manuscript. There is one caveat to this. If you published in an open access journal that allows us to use the publisher's version, we can take that publisher's PDF. If it is not an open access journal we would require that manuscript. That final peer-reviewed pre-publication manuscript. If you are submitting that manuscript, it must be Section 508 compliance. To be included in the repository and must be 508 compliant. Everyone at this point is pretty familiar with 508 compliance.

Section 508 is a federal law that requires that any materials that are placed on a public facing website should be fully accessible by people with some sort of disability such as hearing impairment, visual disability and the like. We look for five main elements when it comes to 508 compliance. We call them the big five. The document must be a tagged PDF. All images charts figures have alternative text behind them. And when I say alternative text I don't mean -- it will pass the PDF checker and I will find it. A W is not descriptive text. If it is a chart, some sort of paragraph with temperatures or whatever just a graph of temperatures or a picture of a fish, or a graph of whatever kind of fish this. We don't ask for super descriptive things, but if you put in a letter or the address or file name of the image, we will send it back. It does need to be descriptive text, that is the point of it. The reading order for the documents should be logical. You can do a visual glance of this in Adobe. You can also run it through a screen reader. Adobe does have a screen reading option called Adobe Read. It is part of the program. You can run it through and it will run through the whole thing for you. If your document is over 20 pages we do ask that it has

bookmarks. If it is 19 you do not have to apply bookmarks. We ask that you solve the document properties. The items title and the language and the other document properties you fill in are fantastic and gravy and we are excited to see that but they are not required. We only focus on title and language. These are used for search engine optimization which makes your document more findable.

Items should be submitted via -- one of two submission methods. There is the email which is [noaa.repository@noaa.gov](mailto:noaa.repository@noaa.gov). Or submission form, with that you do have to have a NOAA.gov e-mail address. The kinds of documents we accept, journal articles, articles which is mostly what we have been talking about. I did not put up here, it does not always apply to grantees and CIs but we do take NOAA series publications. If you receive funding from NOAA we will also take your thesis or dissertation. Some grants have you submit things like posters, pamphlets, presentations that you have done. Those are not things we include in the repository. Strictly for research publications. They are not specifically named in either PARR or the publication policy so we do not take them. With that I will hand it over to Sarah, and and she will talk a little bit more about that submission.

>> Now that you know what the policy requires that you submit, I will tell you how to do that. We know that different offices and programs are handling's missions differently. From our requiring the author submit publications themselves. Others have a single person coordinating those efforts and submitting everything together. We have no opinions on the best way to do this, but we are more than willing to work with any office or individual trying to figure out the best way to get publications to us. As in all things here, we are here to help.

As Jenn mentioned, there are two submission methods. I will get to those in a minute. The most expedient is the submit button on the IR homepage. Right there on the top on the navigation bar. It is present on every page in the IR. There's also a little drop-down menu 'About NOAA institutional repository' and under that is a link to the FAQs. These are the brief version of the FAQs. We try not to have everything quite as in-depth because we can't make changes with great expediency. But the FAQs cover what the basics of the PARR policy are. What publications are required, and how to submit. There are links to the IR submissions form as well as the IR e-mail. For any questions or submissions.

There is also a link to the NOAA page with IR extended FAQs. From the library's website there is a path to the institutional repository and on that tab there is a link to the repository itself so you can do searches or start from there with the submission button and also links to the submission form and the extended FAQs. The extended FAQs we do try to keep updated as we are getting more questions. So it's good to check there. We have more depth about all of the questions and information on things like Section 508 compliance and including data sets in your submission.

And again under how do I submit my materials, more links to the submission form, the IR e-mail and the batch submission template that we will be discussing in a moment. Our favorite, our preferred method of submission is using the submission form. It's a Google form that walks you through the process of amending either single items or batches of publications and also allows you to re-submit documents that are already in the IR. If you find an error and need to update it. Or change any of the links. Unfortunately the form requires a NOAA Gmail -- NOAA e-mail address and so authors -- a lot of grantees won't be able to access this option. They should use the e-mail. It is easy.

What we need from this is to have a full citation of the documents being cemented. A primary contact person. And they document it off either the PDF attachment or the shared Google drive. And for either through the form or via e-mail you can submit using the batch template that we provided. It ensures that we get all the information we need to create proper metadata before we upload items into the IR. It is as simple as selecting the document type and entering the appropriate document details. Not every column will be filled in for every document. Different requirements for articles and NOAA publications sometimes you have additional information that you want to include like grant numbers or cooperative Institute names. Often -- this is where you would include data's that links if you have them. So we provided a second tab with a glossary of all the column headings to help you figure out what each column means in which one applies to your document. And as always if you have any questions you can e-mail us at the repository e-mail or e-mail Jenn or I and we will help you.

If you are very new to the process we can get on the phone with you and walk you through it. To use the template we suggest you make a copy rather than using the one that is online and adding your information before sharing it with us. We request that you submit journal articles and NOAA publications separately because they are handled a little bit differently. And it will expedite the process. As a reminder, we also will need all the documents. No matter how you are submitting it. If it is in Excel form, if you are e-mailing it to us or using the form. The form requires you upload the document but be prepared. We always need the actual document. If you just want to share it on the Google drive, that's a perfectly nice way to do it. Very quick for us. That about sums it up and we are ready to take questions.

>> Any questions in the room?

>> We submit journal articles and NOAA publications. This is less of an issue probably, we -- for grant programs. But in general those are handled through two slightly different streams and it is best for everyone if they are and it is best for everyone if they are slightly separate.

>> There's a question in the room about submitting dissertations and whether or not they are

copyrighted. We are still working through this. We talked to general counsel at some point and they said we can put that in. They are subject to the same rules. We probably will have to look at these on an individual basis but I know that we have accepted dissertations.

>> Now we will take questions online.

>> The question is about if someone has a descriptive caption if they can reuse that as their alternative text. While this isn't typically a best practice, we have been accepting it. We have done that in some of our materials. It not necessarily a 508 best practice you can do that, yes

>> There's a question about a word template that makes the -- more straightforward.

>> The question was is there a word template that makes the document elements more straightforward? Just for clarification, I am assuming that person is referring to making their manuscript or their item Section 508 compliant, correct? If that is the case, not yet. We don't have a template just yet. On Thursday, this week Thursday the 21st at 2:00 p.m., I'm going to be doing another Section 508 workshop. A hands-on workshop. Via webinar only. So please don't come to the library. But you can login online. I'm going to go through and create an entire document. It will be in the format of a technical memo. But same principles apply. To any sort of manuscript. I will be creating the whole document from scratch and it will be Section 508 compliant. When I am done with that there will be a very generic technical memorandum template that I am going to post on the Section 508 guide that people can use, can copy from. Can steal if they would like and complete. I hope that answered the question. If it didn't, put some more details in there and we will try to answer it better.

>> A question, the question was not from the grantee side but the grantors side, do those offices and programs have any specific requirements themselves to make sure that things are getting into the repository. My short answer is yes. Where it is and what it specifically states within PARR I don't have right off the top of my head. In PARR and as I mentioned to me publications policy and the data directive, it does pacifically layout there is possibilities of each party so whether it is the author, the office and the library. You can even see what we are supposed to be doing. What I can do is -- I can do an additional slide here and before we post the slides we will put that information in there as well.

>> I have a question about incorporating this into contract language. Is this being written into grants now? Is there language available?

>> That is an amazing question. The question was is this information and these requirements written into current grant language and if there is a plan to put it into future grant language.

Unfortunately, I don't have -- I have -- there are some aspects of this written into current grant. Specifically regarding the repository and those requirements as far as I understand it is not in grant language right now. We have been trying to get into those conversations and to have all of that grant information updated. So that all of that is listed. But at this point in time, where hoping people are in court rating that but none of that is a ever sent to us. We don't ever see that language before it is posted. If someone is writing a grant we would rule out advice as to what language could and should be used. Sarah and I are working on developing standard statements that we would like to see. But right now I don't have a great yes or no answer for that. It should be in there. Is it? Maybe.

>> Some language in the grant -- and included in -- that language is potentially incomplete but protects the 508 requirements. And I think it depends on the grant officer. I know our grant officer has said you must include it for it to be authorized.

>> Exactly. For those who couldn't hear that on the phone it was that it also depends on some offices have included some of that language and some have-nots. Some of them include things about 508 which should be included since these are things that are coming to a federal agency. As a federal agency we are required to make all of our materials Section 508 compliance. So yes. You're correct. Some offices are doing it and some are not. I know they had recently revised the data and publication sharing directive. And we have seen what they were putting in there. There -- I don't think they were changed. Specifically information was incorrect about the repository address and who is responsible for managing it.

>> I think at that 508 was a footnote. But that process I believe got hung up. It hasn't quite been approved yet as far as we are aware.

>> More questions? We have plenty of time.

>> Is the library still okay with submitting EndNote library files? If so, the requirements?

>> This is a question about submitting Endnote batches which is our original preferred source of submissions. We are still accepting them. They are a little less than ideal. But if you are including them I would suggest linking to a Google drive document rather than attaching the PDF to the library itself because it makes a very large file. And perhaps talking to us about what metadata to include because that has been part of the problem. We get slightly different metadata on our end.

>> When there are two or more authors co-authoring how do you determine the documents and requirements.

>> Having two or more authors on a document determining who submit the document. We are not really making that decision. A lot of our documents are coming from the office of [ Indiscernible ]. If there is no harm in a submission. Multiple submissions of the same document. We checked. I am very careful, so it comes down to hopefully you can work it out among yourselves. Our general best practices the first author is the one who submits but when in doubt submit again.

>> The question is why we ask for the pre-publication manuscript. We require the pre-publication manuscript because of copyright. There are copyright restrictions on a lot of things. Those copyright things are waived and moved at that point. We do ask that when you submit that a manuscript or even open access version you include a link to the publishers version via the DOI. If you send us a manuscript we always link to the publisher version on the website. That's part of the requirements of PARR. Part of the copyright practice. Being diligent with our metadata and having access to the research. If you have a manuscript please give us the DOI. Any more questions online? Any more questions in the room?

>> The question is what if the pre-publication version was never submitted? The officer program only has a final version and we can't get our hands on the pre-publication version. What do we do? The repository is intended as a document repository. For everything we do requires documents. For whatever reason we cannot get a hold of the pre-publication manuscript and we cannot use the final version, unfortunately we can't put that item into the repository. Hopefully that isn't the case, so people would be able to get their hands on that. Again always check if it is open access, we can take that version. Unfortunately, that would be a thing we would have to omit from the repository.

>> A question from online about whether or not co- located CIs, people working alongside NOAA authors who have to go through these lab review processes for their publication if they should assume that the lab is submitting their document? I would never assume that someone else is submitting your document. You can check with them, you can check with us. When in doubt, submit again. We will check. There is also a comment I see about it is very hard to get the pre-published version. We do understand that. And we have been exploring ways to try to get around that. So far, we haven't found anything. We understand that is difficult. We don't particularly expect to have 100% compliance because of that because that is a big hurdle to get over.

>> Question about requirements to submit reports to journal articles I would check the grant language. If it's something that you are required to submit to the grant it is something you are required to submit to the IR. It is a research product from NOAA funding. I would say yes.



>> When in doubt, you can always e-mail us at the NOAA repository, and say is this something I need to submit and we will always take a look look at it and give you a yes or no.

>> The question is about open access journals and if you publish in an open access journal and you submit to the IR doesn't have to be Section 508 compliant? This is our one caveat for Section 508 compliance as well. No. If we can use the publishers version we will use it as it is because it is a publishers version and copyrighted we can't alter that item. Sometimes when you make things 508 compliant you alter some things. That is our one and only caveat for Section 508 compliance. If we are able to use the publishers version you do not have to do any 508 remediation for that item. Any more questions?

>> The question was in regards to on the submission form there is a new option for re-submitting a link or a document or something and the question was about submitting a data set link after-the-fact. Sometimes you get the DOI will after you submit your publication. And the best way to get that to us, you can submit it via that form. You can also submit it via e-mail. We will take it either way. Whatever works best for you. If you're adding a data set link, say your publication is already in the repository but now you have the DOI for your data set. All we would need to know is the title or URL for that item in the repository. Remember all repository documents have a unique URL. You can grab that from that landing page, drop it in the email and and say this is the data set link for this document in the repository. We will link them up and then you are good to go. Doing it via email sometimes is easier for people. You can do it through that new button on the submission form. We are good either way. We want to make sure we get that link in there. Anything else?

Okay. If anything comes up as always, feel free to remit emailed the repository count, myself, Sarah, and another shout out for the 508 workshop Thursday at 2:00. There is in regards to that, there is I created a form. If you have Pacific questions please fill out the form. It is linked to on the brownbag page for that specific event. Go had and Semitic question. I will try to get as many as I can. It is an hour-long session unlike the last one which was only 30 minutes. If you have questions during, please submit them in the question panel. I will go over all that again. We did have a number of 508 questions today. And we will have another one of these in August. If you have anything before then, let us know. If not, we will see you all in August. Thanks everybody.

[ Event Concluded ]